

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

|   |                  |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
|---|------------------|---|--|--------------------|--|-------------|--|----------------------|----------------|---------------|---------|------------------|------|---------------------|------------------|
| <h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2000</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision.<br/>Small Entity payments <u>must</u> be supported by a small entity statement,<br/>otherwise large entity fees must be paid. See Forms PTO/SB/09-12.<br/>See 37 C.F.R. §§ 1.27 and 1.28.</p> |                  | <p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td></td></tr> <tr><td>Filing Date</td><td></td></tr> <tr><td>First Named Inventor</td><td>David N.S. Hon</td></tr> <tr><td>Examiner Name</td><td>J. Kerr</td></tr> <tr><td>Group / Art Unit</td><td>1633</td></tr> <tr><td>Attorney Docket No.</td><td>460-001 Cont. IV</td></tr> </table> |  | Application Number |  | Filing Date |  | First Named Inventor | David N.S. Hon | Examiner Name | J. Kerr | Group / Art Unit | 1633 | Attorney Docket No. | 460-001 Cont. IV |
| Application Number  |                  |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| Filing Date   |                  |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| First Named Inventor  | David N.S. Hon   |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| Examiner Name   | J. Kerr          |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| Group / Art Unit  | 1633             |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| Attorney Docket No.   | 460-001 Cont. IV |   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |
| TOTAL AMOUNT OF PAYMENT   | (\$)             | 355   |  |                    |  |             |  |                      |                |               |         |                  |      |                     |                  |

| <p><b>METHOD OF PAYMENT</b> (check one)</p> <p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <span style="border: 1px solid black; padding: 2px;">11-0978</span></p> <p>Deposit Account Name: <span style="border: 1px solid black; padding: 2px;"></span></p> <p>2. <input type="checkbox"/> <b>Payment Enclosed:</b><br/> <input type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p> <p>3. <input type="checkbox"/> Charge any additional fee required under 37 CFR Sections 1.16 and 1.17 or credit any overpayment to the above-listed deposit account.</p> | <p><b>FEE CALCULATION</b> (continued)</p> <p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 390</td><td>216 195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 890</td><td>217 445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,390</td><td>218 695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,890</td><td>228 945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 710</td><td>246 345</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;"><b>Subtotal (3)</b></td> <td style="text-align: center;">(\$)</td> </tr> <tr> <td colspan="3"></td> <td style="text-align: center;">0</td> </tr> </tbody> </table> | Large Entity Fee Code (\$)   | Small Entity Fee Code (\$) | Fee Description | Fee Paid | 105 130 | 205 65 | Surcharge - late filing fee or oath |  | 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet. |  | 139 130 | 139 130 | Non-English specification |  | 147 2,520 | 147 2,520 | For filing a request for reexamination |  | 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action |  | 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action |  | 115 110 | 215 55 | Extension for reply within first month |  | 116 390 | 216 195 | Extension for reply within second month |  | 117 890 | 217 445 | Extension for reply within third month |  | 118 1,390 | 218 695 | Extension for reply within fourth month |  | 128 1,890 | 228 945 | Extension for reply within fifth month |  | 119 310 | 219 155 | Notice of Appeal |  | 120 310 | 220 155 | Filing a brief in support of an appeal |  | 121 270 | 221 135 | Request for oral hearing |  | 138 1,510 | 138 1,510 | Petition to institute a public use proceeding |  | 140 110 | 240 55 | Petition to revive - unavoidable |  | 141 1,240 | 241 620 | Petition to revive - unintentional |  | 142 1,240 | 242 620 | Utility issue fee (or reissue) |  | 143 440 | 243 220 | Design issue fee |  | 144 600 | 244 300 | Plant issue fee |  | 122 130 | 122 130 | Petitions to the Commissioner |  | 123 50 | 123 50 | Petitions related to provisional applications |  | 126 240 | 126 240 | Submission of Information Disclosure Stmt |  | 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) |  | 146 710 | 246 345 | Filing a submission after final rejection (37 CFR § 1.129(a)) |  | 149 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) |  | Other fee (specify) _____ |  |  |  | Other fee (specify) _____ |  |  |  | <b>Subtotal (3)</b> |  |  | (\$) |  |  |  | 0 |
|--|--|--|----------------------------|-----------------|----------|---------|--------|-------------------------------------|--|--------|--------|---|--|---------|---------|---------------------------|--|-----------|-----------|--|--|----------|----------|--|--|------------|------------|---|--|---------|--------|--|--|---------|---------|---|--|---------|---------|--|--|-----------|---------|---|--|-----------|---------|--|--|---------|---------|------------------|--|---------|---------|--|--|---------|---------|--------------------------|--|-----------|-----------|---|--|---------|--------|----------------------------------|--|-----------|---------|------------------------------------|--|-----------|---------|--------------------------------|--|---------|---------|------------------|--|---------|---------|-----------------|--|---------|---------|-------------------------------|--|--------|--------|---|--|---------|---------|---|--|--------|--------|--|--|---------|---------|---|--|---------|---------|--|--|---------------------------|--|--|--|---------------------------|--|--|--|---------------------|--|--|------|--|--|--|---|
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| 105 130  | 205 65   | Surcharge - late filing fee or oath  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 127 50   | 227 25   | Surcharge - late provisional filing fee or cover sheet.                    |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 139 130  | 139 130  | Non-English specification  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 147 2,520  | 147 2,520  | For filing a request for reexamination                                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 112 920*   | 112 920*   | Requesting publication of SIR prior to Examiner action                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 113 1,840*   | 113 1,840*   | Requesting publication of SIR after Examiner action                        |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 115 110  | 215 55   | Extension for reply within first month                                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 116 390  | 216 195  | Extension for reply within second month                                    |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 117 890  | 217 445  | Extension for reply within third month                                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 118 1,390  | 218 695  | Extension for reply within fourth month                                    |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 128 1,890  | 228 945  | Extension for reply within fifth month                                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 119 310  | 219 155  | Notice of Appeal   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 120 310  | 220 155  | Filing a brief in support of an appeal                                     |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 121 270  | 221 135  | Request for oral hearing   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 138 1,510  | 138 1,510  | Petition to institute a public use proceeding                              |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 140 110  | 240 55   | Petition to revive - unavoidable   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 141 1,240  | 241 620  | Petition to revive - unintentional   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 142 1,240  | 242 620  | Utility issue fee (or reissue)   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 143 440  | 243 220  | Design issue fee   |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 144 600  | 244 300  | Plant issue fee  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 122 130  | 122 130  | Petitions to the Commissioner  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 123 50   | 123 50   | Petitions related to provisional applications                              |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 126 240  | 126 240  | Submission of Information Disclosure Stmt                                  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 581 40   | 581 40   | Recording each patent assignment per property (times number of properties) |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 146 710  | 246 345  | Filing a submission after final rejection (37 CFR § 1.129(a))              |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| 149 710  | 249 355  | For each additional invention to be examined (37 CFR § 1.129(b))           |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| Other fee (specify) _____  |  |  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| Other fee (specify) _____  |  |  |                            |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
| <b>Subtotal (3)</b>  |  |  | (\$)                       |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |
|  |  |  | 0                          |                 |          |         |        |                                     |  |        |        |   |  |         |         |                           |  |           |           |  |  |          |          |  |  |            |            |   |  |         |        |  |  |         |         |   |  |         |         |  |  |           |         |   |  |           |         |  |  |         |         |                  |  |         |         |  |  |         |         |                          |  |           |           |   |  |         |        |                                  |  |           |         |                                    |  |           |         |                                |  |         |         |                  |  |         |         |                 |  |         |         |                               |  |        |        |   |  |         |         |   |  |        |        |  |  |         |         |   |  |         |         |  |  |                           |  |  |  |                           |  |  |  |                     |  |  |      |  |  |  |   |

|                     |                           |                                   |                        |
|---------------------|---------------------------|-----------------------------------|------------------------|
| <b>SUBMITTED BY</b> |                           | <b>Complete (if applicable)</b>   |                        |
| Name (Print/Type)   | J. William Seanor, D.V.M. | Registration No. (Attorney/Agent) | 40,804                 |
| Telephone           | 859/ 252-0889             | Signature                         | <i>J.W. Seanor DVM</i> |
| Date                | November 20, 2000         |                                   |                        |

S.N.: NOT YET ASSIGNED

Docket No. 460-001 Continuation IV

Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application :

DAVID N. S. HON ET AL. :

Serial No. NOT YET ASSIGNED :

Group Art Unit: 1633

Filed: November 20, 2000 :

For: COMPOSITIONS OF OAK BARK :  
EXTRACT RELATED SYNTHETIC :  
COMPOSITIONS AND METHOD OF :  
USING SAME :

**PRELIMINARY AMENDMENT**

Commissioner of Patents  
and Trademarks  
Washington, DC 20231

Dear Sir:

The above-styled application is a continuation of prior application Serial Number: 08/947,055, filed on October 8, 1997 which is set to issue on November 21, 2000 as U.S. Patent Number 6,149,947. This application claims the benefit of priority, through co-pendency, of prior application Serial Number: 07/973,071, filed November 6, 1992, the status of which is now abandoned.

In the Claims

Please cancel claims 32-36 without prejudice.

Please add the following new claims 37-43 as follows:

--37. A composition comprising from 40% to 80% by weight of solids of an aqueous oak bark extract.

38. The composition of claim 37, wherein the composition is useful for enhancing wound healing at a wound site via modulation of matrix metalloproteinase activity at the wound site.

39. A composition for enhancing wound healing at a wound site via modulation of matrix metalloproteinase activity at the wound site, comprising:

a pharmaceutically acceptable carrier; and

an active ingredient of inorganic solids comprising 10-80 parts by weight of potassium ions, 0.00001-20 parts by weight of zinc ions, 0.01-10 parts by weight of calcium ions and 1-40 parts by weight of rubidium ions.

40. The composition according to claim 39, wherein the rubidium ions comprise 1-30 parts by weight of the inorganic solids.

41. The composition according to claim 39, wherein said carrier is water.
42. The composition according to claim 39, wherein said carrier is cream based.
43. A method for enhancing wound healing at a wound site via modulation of matrix metalloproteinase activity at the wound site, comprising applying to the wound site an effective amount of a therapeutic composition comprising:

a pharmaceutically acceptable carrier; and

an active ingredient of inorganic solids comprising 10-80 parts by weight of potassium ions, 0.00001-20 parts by weight of zinc ions, 0.01-10 parts by weight of calcium ions and 1-40 parts by weight of rubidium ions.--

#### REMARKS

New claim 37 above is identical to non-elected claim 1 of the parent application Serial Number: 07/973,071, as set forth in the "Response to Restriction Requirement" filed on November 18, 1993.

New claims 38-43 are set forth herein to distinctly claim specific embodiments of the present invention directed compositions and methods for enhancing wound healing at a wound site via modulation of matrix metalloproteinase activity at the wound site. The Examiner is invited to contact the undersigned attorney directly if such contact will

enhance the efficient prosecution of the application to issue.

Respectfully submitted,

**KING AND SCHICKLI**



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CERTIFICATE OF MAILING

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